

COMMISSIONER FOR PATENTS
Washington, D.C. 20231

SERIAL NO. 09/895,977

IBM DOCKET NO. AUS920010235US1

DATE: August 1, 2005

DATE: August 1, 2005

Number of Pages to Follow (including this cover sheet) 5

RECEIVED
CENTRAL FAX CENTER
AUG 01 2005

SEND TO: United States Patent Office

Examiner:

Group Art Unit: 2163

Tel No:

Fax No: 571-273-8300

FROM: Joseph T. Van Leeuwen
Van Leeuwen & Van Leeuwen
Registered Patent Attorneys
6123 Pebble Garden Court
Austin, Texas 78739

Tel No: 512-301-6738
Fax No. 512-301-6742

THIS MESSAGE IS INTENDED ONLY FOR THE USE OF THE INDIVIDUAL OR ENTITY TO WHICH IT IS ADDRESSED, AND MAY CONTAIN INFORMATION THAT IS PRIVILEGED, CONFIDENTIAL AND EXEMPT FROM DISCLOSURE UNDER APPLICABLE LAW. IF THE READER OF THIS MESSAGE IS NOT THE INTENDED RECIPIENT, OR THE EMPLOYEE OR AGENT RESPONSIBLE FOR DELIVERING THE MESSAGE TO THE INTENDED RECIPIENT, YOU ARE HEREBY NOTIFIED THAT ANY DISSEMINATION, DISTRIBUTION OR COPYING OF THIS COMMUNICATION IS STRICTLY PROHIBITED. IF YOU HAVE RECEIVED THIS COMMUNICATION IN ERROR, PLEASE NOTIFY US IMMEDIATELY BY TELEPHONE AND RETURN THE ORIGINAL MESSAGE TO US AT THE ADDRESS ABOVE VIA THE U.S. POSTAL SERVICE. THANK YOU.

Docket No. AUS920010235US1 Serial No. 09/895,977 Atty: LAV / JVL

Applicant: Calderaro, et al.

<input checked="" type="checkbox"/> Transmittal Letter (2 copies)	<input checked="" type="checkbox"/> Certificate of Facsimile
<input type="checkbox"/> Amendment (pages)	<input type="checkbox"/> Notice of Appeal
<input type="checkbox"/> Amendment AF	<input type="checkbox"/> Appeal Brief (3 copies)
<input type="checkbox"/> Ext. of Time	<input type="checkbox"/> Reply Brief
<input checked="" type="checkbox"/> IDS Statement	<input type="checkbox"/> Change of Address
<input checked="" type="checkbox"/> Form PTO-1449 (Modified)	
<input type="checkbox"/> Other _____	

Deposit Acct. No. 09-0447

Fees: Amendment _____ Notice of Appeal _____ Appeal Brief _____ Other \$ 0.00

Atty Ref. No. 1029

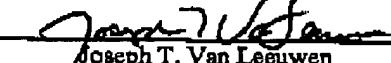
COMMISSIONER FOR PATENTS
Washington, D.C. 20231

SERIAL NO. 09/895,977

IBM DOCKET NO. AUS920010235US1

DATE: August 1, 2005

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

<u>Certificate of Mailing or Transmission</u>	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 or facsimile transmitted to the U.S. Patent and Trademark Office on the date shown below.	
	8/1/05 Date
Joseph T. Van Leeuwen	

Sir:

Transmitted herewith for filing is the Patent Application of:

Inventors: Calderaro, et al.

For: System and Method for Organizational Risk Based On Personnel Planning Factors

Enclosed are:

- Information Disclosure Statement;
- Modified form 1449 listing 5 references;
- copies of any non-U.S. Patent references listed on form 1449.

37 CFR § 1.97 is satisfied by the following:

- This IDS is being filed pursuant to CFR § 1.97(b), therefore no fee as set forth in § 1.17(p) is believed to be due. If, however, more than three months have elapsed since the filing date and a first Office action on the merits has already been mailed, then please charge my Deposit Account No. 09-0447 the fees set forth in § 1.17(p) [\$180.00]. A duplicate copy of this sheet is enclosed.
- The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 09-0447. A duplicate copy of this sheet is enclosed.
- Any additional patent application processing fees under 37 CFR Sect. 1.17.

Respectfully submitted,

By 
 Joseph T. Van Leeuwen
 Attorney for Applicant
 Registration No. 44,383
 Telephone: (512) 301-6738
 Facsimile: (512) 301-6742

Atty Ref. No. 1029

COMMISSIONER FOR PATENTS
Washington, D.C. 20231

SERIAL NO. 09/893,977

IBM DOCKET NO. AUS920010235US1

DATE: August 1, 2005

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Certificate of Mailing or Transmission
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 or facsimile transmitted to the U.S. Patent and Trademark Office on the date shown below.

Joseph T. Van Leeuwen

8/1/05
Date

Sir:

Transmitted herewith for filing is the Patent Application of:

Inventors: Calderaro, et al.

For: System and Method for Organizational Risk Based On Personnel Planning Factors

Enclosed are:

- Information Disclosure Statement;
- Modified form 1449 listing 5 references;
- copies of any non-U.S. Patent references listed on form 1449.

37 CFR § 1.97 is satisfied by the following:

- This IDS is being filed pursuant to CFR § 1.97(b), therefore no fee as set forth in § 1.17(p) is believed to be due. If, however, more than three months have elapsed since the filing date and a first Office action on the merits has already been mailed, then please charge my Deposit Account No. 09-0447 the fees set forth in § 1.17(p) [\$180.00]. A duplicate copy of this sheet is enclosed.
- The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 09-0447. A duplicate copy of this sheet is enclosed.
- Any additional patent application processing fees under 37 CFR Sect. 1.17.

Respectfully submitted,

By *Joseph T. Van Leeuwen*
Joseph T. Van Leeuwen
Attorney for Applicant
Registration No. 44,383
Telephone: (512) 301-6738
Facsimile: (512) 301-6742

Atty Ref. No. 1029

COMMISSIONER FOR PATENTS
Washington, D.C. 20231

RECEIVED
CENTRAL FAX CENTER
AUG 01 2005

SERIAL NO. 09/895,977
IBM DOCKET NO. AUS920010235US1
DATE: August 1, 2005

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:
Calderaro, et. al.
Serial No.: 09/895,977
Filed: June 29, 2001
Title: System and Method for
Organizational Risk Based On
Personnel Planning Factors

: Group Art Unit: 2163
: Intellectual Property Law Department
: International Business
: Machines Corporation
: Intellectual Property Law Dept.
: 11400 Burnet Road
: Austin, Texas 78758

INFORMATION DISCLOSURE STATEMENT

The Commissioner of Patents
Washington, D.C. 20231

Sir:

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR § 1.56.

While this Information Disclosure Statement may be "material" pursuant to 37 CFR § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such. In accordance with 37 CFR § 1.97(g) the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR § 1.56 (a) exists.

The attached form, PTO-1449, provides a listing of patents, publications, or other information as required by 37 CFR § 1.98 (a)(1). A copy of each listed item that is not a U.S. Patent document, is supplied herewith.

Respectfully submitted,

By

Joseph T. Van Leeuwen
Joseph T. Van Leeuwen
Van Leeuwen & Van Leeuwen
Attorneys for Applicant
Registration No. 44,383
Telephone: (512) 301-6738
Facsimile: (512) 301-6742

Page 1 of 1

Aut Ref. No. 1029

In Place of FORM PTO-1449 (Modified)

**LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT**

Serial No. 09/895,977

Applicant: Calderaro, et. al.

Filing Date: 6/29/2001

Group: 2163

Atty. Docket No. AUS920010235US1

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Classification Class / Subclass	Filing Date if Appropriate
AA	6,338,042	01-2002	Paizis, James N.	705/11	
AB	6,754,874	06-2004	Richman, Ira S.	715/507	
AC	5,819,231	10-1998	Tremaine, John L.	705/7	
AD	6,269,355	07-2001	Grimse et al.	706/46	
AE	6,741,993	05-2004	Zitaner et al.	707/10	
AF					
AG					
AH					
AI					
AJ					
AK					
AL					

FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Classification	Translation Yes <u> </u> No <u> </u>
AM					
AN					
AO					
AP					

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AQ
AR
AS
AT
AU

Examiner:

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Page 1 of 1

Atty Ref. No. 1029